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OIPE JC158 JUN 22 2004 PATENT & TRADEMARK OFFICE

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June 22, 2004

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

**Art Unit 2811**
**Examiner:** ***To Be Assigned***
**Confirmation No.: 1867**

Re: U.S. Utility Patent Application
Application No. 10/806,095; Filed: March 23, 2004
For: **Method for Manufacturing Ferroelectric Thin Film Device, Ink Jet Recording Head and Ink Jet Printer**
Inventor: Masami MURAI
Our Ref: 1089.0310005/ALF

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;

2. List of documents cited on Forms PTO/SB/08a and PTO/SB/08b (4 pages);

3. A copy of four (4) documents cited on Form PTO/SB/08a (Doc. Nos. FPD7 and FPD15-FPD17); and

4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Albert L. Ferro
Attorney for Applicant
Registration No. 44,679

ALF/awt
Enclosures

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OIPE JC156
JUN 22 2004
PATENT & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|---|---|
| In re application of: | Confirmation No.: 1867 |
| Masami MURAI | Art Unit: 2811 |
| Appl. No.: 10/806,095 | Examiner: *To Be Assigned* |
| Filed: March 23, 2004 | Atty. Docket: 1089.0310005/ALF |
| For: **Method for Manufacturing Ferroelectric Thin Film Device, Ink Jet Recording Head and Ink Jet Printer** | |

## Information Disclosure Statement

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Forms PTO/SB/08a and PTO/SB/08b are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicant has listed publication dates on the attached Forms PTO/SB/08a and PTO/SB/08b based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent

application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicant has checked the appropriate boxes below.

☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.

☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of $_____ in payment of the fee under 37 C.F.R. § 1.17(p).

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of $_____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a

communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

☒ 6. A concise explanation of the relevance of the non-English language documents FPD15-FPD17 is provided in the translation attached thereto.

☒ 7. Copies of documents FPD7 and FPD15-FPD17 are submitted herewith.

☒ 8. Copies of the documents AA1-AP1, FPD1-FPD6, FPD8-FPD14, and NPLD1 were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 09/418,309, filed October 14, 1999 and/or Application No. 10/290,290, filed November 8, 2002, which are relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

☐ 9. No copies of U.S. patents and patent application publications cited on the attached Forms PTO/SB/08a and PTO/SB/08b are submitted in accordance with 1276 OG 55 because this application was filed after June 30, 2003.

☐ 10. It is expected that the examiner will review the prosecution and cited art in the parent application no(s). _____ in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed Forms PTO/SB/08a and PTO/SB/08b, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Albert L. Ferro
Attorney for Applicant
Registration No. 44,679

Date: June 22, 2004

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of

OIPE JUN 22 2004 PATENT & TRADEMARK OFFICE

| Complete If Known | |
|---|---|
| Application Number | 10/806,095 |
| Filing Date | March 23, 2004 |
| First Named Inventor | Masami MURAI |
| Art Unit | 2811 |
| Examiner Name | To Be Assigned |
| Attorney Docket Number | 1089.0310005/ALF |

| Examiner Initials* | Cite No.[1] | Document Number<br>Number-Kind Code[2] (If Known) | Publication Date MM-DD-YYYY | NOame of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|---|---|---|---|---|---|
| | AA1 | US-5,191,510 | 03-02-1993 | Huffman | |
| | AB1 | US-5,576,564 | 11-19-1996 | Satoh et al. | |
| | AC1 | US-5,696,394 | 12-09-1997 | Jones, Jr. et al. | |
| | AD1 | US-5,802,686 | 09-08-1998 | Shimada et al. | |
| | AE1 | US-5,814,849 | 09-29-1998 | Azuma et al. | |
| | AF1 | US-5,933,167 | 08-03-1999 | Shimada et al. | |
| | AG1 | US-5,998,236 | 12-07-1999 | Roeder et al. | |
| | AH1 | US-6,208,400 | 03-27-2001 | Kameyama et al. | |
| | AI1 | US-6,239,462 | 05-29-2001 | Nakao et al. | |
| | AJ1 | US-6,278,146 | 08-21-2001 | Nakamura | |
| | AK1 | US-6,294,860 | 09-25-2001 | Shimada et al. | |
| | AL1 | US-6,337,238 | 01-08-2002 | Nakabayashi | |
| | AM1 | US-6,333,537 | 12-25-2001 | Arita | |
| | AN1 | US-6,360,606 | 03-26-2002 | Hirota et al. | |
| | AO1 | US-6,414,975 | 07-02-2002 | Ishibashi et al. | |
| | AP1 | US-2002/0080213 | 06-27-2002 | Shimada et al. | |
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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No.[1] | Foreign Patent Document<br>Country Code[4] Kind Code[5] (in known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T[6] |
|---|---|---|---|---|---|---|
| | FPD1 | EP 0 736 385 A1 | 10-09-1996 | Seiko Epson Corp. | | |
| | FPD2 | EP 0 785 579 A1 | 07-23-1997 | Rohm Co. Ltd. | | |
| | FPD3 | EP 0 797 244 A2 | 09-24-1997 | Sharp KK | | |
| | FPD4 | EP 0 821 415 | 01-28-1998 | Texas Instruments, Inc. | | |
| | FPD5 | EP 0 867 952 | 09-30-1998 | Seiko Epson Corp. | | |
| | FPD6 | EP 0 886 328 | 12-23-1998 | Ube Industries; Seiko Epson Corp. | | |

| Examiner Signature | | Date Considered | |
|---|---|---|---|

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 4

| Complete If Known | |
|---|---|
| Application Number | 10/806,095 |
| Filing Date | March 23, 2004 |
| First Named Inventor | Masami MURAI |
| Art Unit | 2811 |
| Examiner Name | To Be Assigned |
| Attorney Docket Number | 1089.0310005/ALF |

| Examiner Initials* | Cite No.[1] | Document Number<br>Number-Kind Code[2] (If Known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No.[1] | Foreign Patent Document<br>Country Code[4] Kind Code[5] (in known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T[6] |
|---|---|---|---|---|---|---|
| | FPD7 | EP 0 698 490 A2 | 02-28-1996 | Seiko Epson Corp. | | |
| | FPD8 | JP 5-281500 | 10-1993 | | | |
| | FPD9 | JP 7 245236 | 09-19-1995 | Rohm Co. Ltd. | | |
| | FPD10 | JP 7-245237 | 09-1995 | | | |
| | FPD11 | JP 7-245287 | 09-1995 | | | |
| | FPD12 | JP 8-335676 | 12-17-1996 | Rohm Co. Ltd. | | |

| Examiner Signature | | Date Considered | |
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 3 of 4

| Complete If Known | |
|---|---|
| Application Number | 10/806,095 |
| Filing Date | March 23, 2004 |
| First Named Inventor | Masami MURAI |
| Art Unit | 2811 |
| Examiner Name | To Be Assigned |
| Attorney Docket Number | 1089.0310005/ALF |

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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No.[1] | Foreign Patent Document Country Code[4] Kind Code[5] (in known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T[6] |
|---|---|---|---|---|---|---|
| | FPD13 | JP 9-260516 | 10-03-1997 | Sharp Corp. | | |
| | FPD14 | JP 9-280947 | 10-31-1997 | Matsushita Elec. Ind. Co. | | |
| | FPD15 | JP 6-112504 | 04-22-1994 | Rohm Co., Ltd. | | Y |
| | FPD16 | JP 8-58088 | 03-05-1996 | Seiko Epson Corp. | | Y |
| | FPD17 | JP 8-112896 | 05-07-1996 | Seiko Epson Corp. | | Y |
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| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with M PEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1]Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3]Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4]For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5]Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6]Applicant is to place a check mark here if English language Transaction is attached.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Sheet | 4 | of | 4 |
|---|---|---|---|

| Complete If Known | |
|---|---|
| *Application Number* | 10/806,095 |
| *Filing Date* | March 23, 2004 |
| *First Named Inventor* | Masami MURAI |
| *Art Unit* | 2811 |
| *Examiner Name* | *To Be Assigned* |
| *Attorney Docket Number* | 1089.0310005/ALF |

## NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No.[1] | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published | T[2] |
|---|---|---|---|
| | NPLD1 | Iwao Kunishima, Hisami Okuwada, Abstract, "Current Leakage Mechanism of PZT Capacitor on IR Electrode Microelectronics Engineering Laboratory" 59th Scientific Lecture on Applied Physics, Pg. 450 (including English Translation). | |
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| Examiner Signature | | Date Considered | |
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